# FY 2008 (October 1, 2007—September 30, 2008)
# NIMS Compliance Objectives and Metrics for Tribal Nations

## Introduction

Homeland Security Presidential Directive (HSPD)- 5 *Management of Domestic Incidents* called for the establishment of a single, comprehensive national incident management system.  As a result, the U.S. Department of Homeland Security released the National Incident Management System (NIMS) in March 2004.  NIMS provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life, property, and harm to the environment. This consistency provides the foundation for implementation of the NIMS for all incidents, ranging from daily occurrences to incidents requiring a coordinated Federal response.  The NIMS document, as revised in 2007, reflects contributions from stakeholders and lessons learned during recent incidents.

State, territory, Tribal nations, and local governments play an important role in ensuring effective NIMS implementation; not only must they implement NIMS within their jurisdictions, but also ensure that the systems and processes are in place to communicate and support NIMS compliance at all governmental levels. In some instances, when tribal nations or local government may not have the resources to implement all NIMS elements on their own, States and territories should support their efforts by encouraging them to cooperate with other localities in their regions and pool their resources to implement NIMS.

The long-term goal of NIMS is to provide a consistent framework for all aspects of emergency management and incident response.  This framework should be sustainable, flexible, and scalable to meet changing incident needs and allow for integration of other resources from various partners through mutual aid agreements and/or assistance agreements.

## FYs 2005-2007 NIMS Compliance Objectives

On September 8, 2004, a letter to the Nation's Governors detailed the initial steps that States, territories, Tribal nations and local governments needed to take to implement NIMS.  The activities, now objectives, outlined in that letter provide the foundation for current NIMS compliance.  Since that time, FEMA's Incident Management Systems Integration (IMSI) Division continues to expand on this foundation and add additional objectives—each developed to enhance the way incidents are managed at all levels of government.

Prior to Fiscal Year (FY) 2007, IMSI required States and territories to self-certify their NIMS compliance. Beginning in FY 2007, NIMS compliance was determined by State, territory, Tribal Nation and local government responses to performance-based "metrics".  IMSI developed these compliance metrics from previously-required implementation objectives specified in the *FY 2006 NIMS Implementation Matrix for States and Territories and the FY 2006 NIMS Implementation Matrix for Tribal Governments and Local Jurisdictions*.  Additionally, the NIMS Compliance Assistance Support Tool (NIMSCAST) has been expanded to incorporate these metrics as well as provide stakeholders with a way to collect and report data relating to NIMS implementation and compliance.  IMSI will analyze this data to help shape the future of its NIMS compliance program.

**NIMS Compliance in FY 2008 and Beyond**

As we move into FY 2008, State, territory, Tribal Nations, and local governments will address specific compliance objectives, which will outline necessary actions to be accomplished in FY 2008.  As with FY 2007 implementation activities, each objective will have corresponding metrics that address expected achievements for FY 2008 and out years.  The FY 2008 metrics will clearly outline year end expectations, while out-year metrics will provide actions that can be implemented in FY 2008 or addressed in the future. The out-year metrics will allow stakeholders to work within their current level of NIMS implementation and compliance and move ahead in implementation objectives.

In FY 2008, there are 27 NIMS Compliance objectives.  Twenty-five (25) of these objectives are pre-existing objectives with which Tribal Nations must continue to comply.  Only one additional compliance objective under *Resource Management*, #23, is new to States and territories, Tribal Nations, and local governments in this fiscal year. One objective under *Preparedness: Training* was previously issued in FY 2007 and is a compliance objective requiring Tribal Nation compliance by the end of FY 2009.  IMSI identifies an additional 11 FY 2009 objectives for which States and Territories, Tribal Nation, and Local government can plan.  Projected FY 2009 compliance objective include:

1. Complete *ICS-400 Advanced ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).

2. Complete Emergency Management Framework Course—Awareness Training (as identified in the Five-Year NIMS Training Plan, February 2008)

3. Include preparedness organizations and elected and appointed officials in the development of emergency operations plans (EOPs).

4. Plan for special needs populations in the development of EOPs (to include, but not limited to, individuals with limited English language proficiency; individuals with disabilities; children; the aged, etc.).

5. Include NGOs and the private sector in an all-hazards exercise program, when appropriate.

6. Promote the integration of Incident Command, Multiagency Coordination System, and Public Information into appropriate exercises and evaluate against associated target capabilities (refer to HSEEP Volume III and the Exercise Evaluation Guides).

7. Institute procedures and protocols for operational and information security during an incident/planned event.

8. Institute multidisciplinary and/or multi-jurisdictional procedures and protocols for standardization of data collection and analysis to utilize or share information during an incident/planned event.

9. Develop procedures and protocols for communications (to include voice, data, access to geospatial information, Internet/Web use, and data encryption), where applicable, to utilize or share information during an incident/planned event.

10. Institute policies, plans, procedures and protocols to prevent spontaneous deployment of resources/personnel and/or responding to a request that bypassed official resource coordination processes (i.e., resources requested through improper channels).

11. Institute mechanisms to deploy, track, recover, demobilize, and to provide reimbursement for resources utilized during response and recovery.

12. Utilize access control measures during an incident, as appropriate

Although released in FY 2008, States and Territories, Tribal Nations, and local governments are not required to achieve these projected compliance objectives before the end of FY 2009.  Additionally, these

12 NIMS Compliance Objectives may not represent the total number of objectives designed with which States and Territories, Tribal Nations, and local governments will have to comply in FY 2009.

| Objectives | States and Territories | Tribal Nations | Local Governments |
|---|---|---|---|
| **Required in FY 2008** | 26 | 25 | 24 |
| **New and Required in FY 2008** | 1 | 1 | 1 |
| **Required (Projected) in FY 2009** | 12 | 12 | 12 |
| **Total** | **39** | **38** | **37** |

Beginning on pages 10-12, Tribal Nations can see the compliance objectives that have been issued for FYs 2005-2008 and their respective metrics. Full compliance metrics are available on pages 12-29.

# NIMS Compliance Objectives

The seven charts to follow (pages 4-7) breakdown the FY 2008 NIMS Compliance Objectives by NIMS component and demonstrate how they pertain to States and Territories, Tribal Nations, and local governments.

| FY 2008 NIMS Compliance Objectives | State/ Territory | Tribal Nations | Local Govts. |
|---|:---:|:---:|:---:|
| **Adoption** | | | |
| 1. Adopt NIMS for all Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations. | ✓ | ✓ | ✓ |
| 2. Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory/Tribal Nation (including Departments/Agencies), including local governments.   This process must provide a means for measuring progress and facilitate reporting. | ✓ | ✓ | N/A |
| 3. Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency. | ✓ | ✓ | ✓ |
| 4. Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial/Tribal/local Departments/Agencies, support all required NIMS compliance Objectives. | ✓ | ✓ | ✓ |
| 5. Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards. | ✓ | ✓ | ✓ |
| 6. Assist Tribal Nations with formal adoption and implementation of NIMS. | ✓ | N/A | N/A |
| *Total Number of Adoption Objectives* | *6* | *5* | *4* |

| FY 2008 NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Preparedness: Planning** | | | |
| 7. Revise and update emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions. | ✓ | ✓ | ✓ |
| 8. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs). | ✓ | ✓ | ✓ |
| *Total Preparedness: Planning Objectives* | *2* | *2* | *2* |
| **Preparedness: Training** | | | |
| 9. Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements. | ✓ | ✓ | ✓ |
| 10. Complete *IS-700 NIMS: An Introduction* or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 11. Complete *IS-800 National Response Framework (NRF): An Introduction* or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 12. Complete *ICS-100 Introduction to ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 13. Complete *ICS-200 ICS for Single Resources and Initial Action Incidents* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 14. Complete *ICS-300 Intermediate ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| *Total Preparedness: Training Objectives* | *6* | *6* | *6* |
| **Preparedness: Exercise** | | | |
| 15. Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises. | ✓ | ✓ | ✓ |
| 16. Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions.[1] | ✓ | ✓ | ✓ |
| 17. Incorporate corrective actions into preparedness and response plans and procedures. | ✓ | ✓ | ✓ |
| *Total Preparedness: Exercises Objectives* | *3* | *3* | *3* |

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[1] Exercises should be as realistic as practicable, stress the system and be based on current risk assessments (credible threats, vulnerabilities, and consequences); capabilities associated with continuity of operations issues and special needs populations should be incorporated as objectives and evaluated in accordance with HSEEP.

| FY 2008 NIMS Compliance Objectives | State/ Territory | Tribal Nations | Local Govts. |
|---|---|---|---|
| **Communications and Information Management** | | | |
| 18. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards. | ✓ | ✓ | ✓ |
| 19. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event. | ✓ | ✓ | ✓ |
| *Total Communications and Information Management Objectives* | *2* | *2* | *2* |

| FY 2008 NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|---|---|---|
| **Resource Management** | | | |
| 20. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division. | ✓ | ✓ | ✓ |
| 21. Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable. | ✓ | ✓ | ✓ |
| 22. Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events. | ✓ | ✓ | ✓ |
| 23. **New FY 2008:** Initiate development of a jurisdiction-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident including those involving mutual aid agreements and/or assistance agreements. | ✓ | ✓ | ✓ |
| *Total Resource Management Objectives* | *4* | *4* | *4* |
| *Total **New FY 2008** Resource Management Objectives* | *1* | *1* | *1* |

| FY 2008 NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Command and Management: Incident Command System** | | | |
| 24. Manage all incidents/ planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate. | ✓ | ✓ | ✓ |
| *Total Command and Management: ICS Objectives* | *4* | *4* | *4* |
| **Command and Management: Multi-Agency Coordination System** | | | |
| 25. Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements. | ✓ | ✓ | ✓ |
| *Total Command and Management: MACS Objectives* | *1* | *1* | *1* |
| **Command and Management: Public Information** | | | |
| 26. Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event. | ✓ | ✓ | ✓ |
| 27. Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event. | ✓ | ✓ | ✓ |
| *Total Command and Management: Public Information Objectives* | *2* | *2* | *2* |

# FY 2009 Projected NIMS Compliance Objectives

The chart below outlines, by NIMS component, the 12 projected NIMS Compliance Objectives for FY 2009. These objectives do not represent the FY 2009 NIMS compliance program in its entirety.

| Projected FY 2009 NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Preparedness: Training** | | | |
| 1. Complete *ICS-400 Advanced ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 2. Complete Emergency Management Framework Course—Awareness Training (as identified in the Five-Year NIMS Training Plan, February 2008) | ✓ | ✓ | ✓ |
| **Preparedness: Planning** | | | |
| 3. Include preparedness organizations and elected and appointed officials in the development of emergency operations plans (EOPs). | ✓ | ✓ | ✓ |
| 4. Plan for special needs populations in the development of EOPs (to include, but not limited to, individuals with limited English language proficiency; individuals with disabilities; children; the aged, etc.). | ✓ | ✓ | ✓ |
| **Preparedness: Exercise** | | | |
| 5. Include NGOs and the private sector in an all-hazards exercise program, when appropriate. | ✓ | ✓ | ✓ |
| 6. Promote the integration of Incident Command, Multiagency Coordination System, and Public Information into appropriate exercises and evaluate against associated target capabilities (refer to HSEEP Volume III and the Exercise Evaluation Guides). | ✓ | ✓ | ✓ |
| **Communications & Information Management** | | | |
| 7. Institute procedures and protocols for operational and information security during an incident/planned event. | ✓ | ✓ | ✓ |
| 8. Institute multidisciplinary and/or multi-jurisdictional procedures and protocols for standardization of data collection and analysis to utilize or share information during an incident/planned event. | ✓ | ✓ | ✓ |
| 9. Develop procedures and protocols for communications (to include voice, data, access to geospatial information, Internet/Web use, and data encryption), where applicable, to utilize or share information during an incident/planned event. | ✓ | ✓ | ✓ |
| **Resource Management** | | | |
| 10. Institute policies, plans, procedures and protocols to prevent spontaneous deployment of resources/personnel and/or responding to a request that bypassed official resource coordination processes (i.e., resources requested through improper channels). | ✓ | ✓ | ✓ |
| 11. Institute mechanisms to deploy, track, recover, demobilize, and to provide reimbursement for resources utilized during response and recovery. | ✓ | ✓ | ✓ |
| **Command and Management** | | | |
| 12. Utilize access control measures during an incident, as appropriate | ✓ | ✓ | ✓ |

# FY 2010 Projected NIMS Compliance Objectives

The chart below outlines, by NIMS component, the 12 projected NIMS Compliance Objectives for FY 2010. These objectives do not represent the FY 2010 NIMS compliance program in its entirety

| Projected FY 2010 NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Preparedness: Training** | | | |
| 1. Complete *ICS-701: Multiagency Coordination Systems* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 2. Complete *ICS-702: NIMS Public Information Systems* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 3. Complete *ICS-703: NIMS Resource Management* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |
| 4. Complete *ICS-704 NIMS Communications and Information Management* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | ✓ | ✓ | ✓ |

# NIMS Compliance Objectives and Metrics

In the five charts to follow (pages 9-11), Tribal Nation governments can readily see the original fiscal year that FEMA IMSID published the 26 compliance objectives and their respective associated compliance metrics (listed on pages 13-31) intended for Tribal Nations.

| Fiscal Year | NIMS Compliance Objectives | Compliance Metric(s) |
|---|---|---|
| | **Adoption** | |
| 2005 | 1. Adopt NIMS by all Tribal Nation Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations. | 1.1 1.2 1.3 |
| 2008 | 2. Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory/Tribal Nation (including Departments/Agencies), including local governments.  This process must provide a means for measuring progress and facilitate reporting. | 2.1 |
| 2007 | 3. Designate and maintain a single point of contact within the Tribal Nation to serve as principle coordinator for NIMS implementation jurisdiction-wide (to include principal coordinator for NIMS implementation within each Department/Agency. | 3.1 3.2 |
| 2008 | 4. Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial/Tribal/local Departments/Agencies support all required NIMS compliance requirements. | 4.1 |
| 2008 | 5. Routinely include NIMS compliance objectives in all audits, conducted by Tribal Nation audit agencies and review organizations, associated with Federal Preparedness Awards. | 5.1 |

| Fiscal Year | NIMS Compliance Objectives | Compliance Metric(s) |
|---|---|---|
| **Preparedness: Planning** | |
| 2005 | 7. Create, revise and update Tribal Nation emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions. | 6.1 6.2 |
| 2005 | 8. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs) where appropriate, and/or where permitted by State law. | 7.1 7.2 |
| **Preparedness: Training** | |
| 2008 | 9. Use existing Tribal Nation resources such as programs, personnel and training facilities to coordinate and deliver NIMS training. | 8.1 |
| 2006 | 10. Ensure that IS-700 NIMS: *An Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, January 2008). | 9.1 9.2 |
| 2006 | 11. Ensure that IS-800a *National Response Framework: an Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, January 2008). | 10.1 10.2 |
| 2006 | 12. Ensure that ICS-100: *Introduction to ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, January 2008). | 11.1 11.2 |
| 2006 | 13. Ensure that ICS-200: *ICS for Single Resources and Initial Action Incidents* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, January 2008). | 12.1 12.2 |
| 2007 | 14. Ensure that ICS-300: *Intermediate ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, January 2008). | 13.1 13.2 |
| **Required in 2009** | ◆ Complete *ICS-400 Advanced ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008). | ◆ ◆ |
| **Preparedness: Exercises** | |
| 2005 | 15. Incorporate NIMS concepts and principles into all appropriate training and exercises. | 14.1 14.2 |
| 2006 | 16. Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions. | 15.1 15.2 |
| 2006 | 17. Incorporate corrective actions into Tribal Nation preparedness and response plans and procedures. | 16.1 |

| Fiscal Year | NIMS Compliance Objectives | Compliance Metric |
|---|---|---|
| Communications and Information Management | | |
| 2006 | 18. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards. | 17.1 |
| 2007 | 19. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event. | 18.1 |

| Fiscal Year | NIMS Compliance Objectives | Compliance Metric(s) |
|---|---|---|
| Resource Management | | |
| 2006 | 20. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Integration Division. | 19.1 19.2 19.3 |
| 2007 | 21. Utilize response asset inventory for intra-tribal and inter-tribal, and intrastate and interstate mutual aid requests, where permitted by State law [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events. | 20.1 |
| 2006 | 22. Ensure that equipment, communications and data systems acquired through Tribal Nation government and local acquisition programs are interoperable. | 21.1 21.2 |
| New, Required In 2008 | 23. Develop a Tribal Nation government-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident, including those involving mutual aid agreements and/or assistance agreements, where permitted by State law. | 22.1 |

| Fiscal Year | NIMS Compliance Objectives | Compliance Metric |
|---|---|---|
| Command and Management | | |
| 2006 | 24. Manage all incidents/ planned events in accordance with Incident Command System (ICS) organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP) and common communications plans, as appropriate. | 23.1 23.2 23.3 23.4 |
| 2006 | 25. Coordinate and support emergency management and incident response activities through the development and use of integrated Multiagency Coordination System (MACS) [i.e., develop and maintain connectivity between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the Tribal Nation government EOC, and Regional and Federal EOCs and NRF organizational elements]. | 24.1 |
| 2006 | 26. Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event. | 25.1 |
| 2007 | 27. Ensure Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event. | 26.1 |

# NIMS ADOPTION

> **Compliance Objective 1:** Adopt NIMS by all Tribal Nation government Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations.

1.1   Has the Tribal Nation government formally adopted, for Fiscal Year (FY) 2008, the National Incident Management System as its all-hazards incident management system?

  [ ] Yes                                [ ] No

  What legal authority was used to formally adopt
  NIMS:  [Check all that apply.]
   [ ] Order
   [ ] Proclamation
   [ ] Resolution
   [ ] Other legal authority

  When was NIMS formally adopted? [   ]

1.2   Does the formal adoption of NIMS expire?

  [ ] Yes                                [ ] No

  When? [   ]

  Is there is a process for renewing/maintaining
  the formal adoption of NIMS?

  [ ] Yes   [ ] No

  If yes, how? [   ]

1.3   Does the Tribal Nation government promote NIMS adoption by associations, utilities, private sector, and nongovernmental organizations, where applicable?

  [ ] Yes                      [ ] No                      [ ] N/A

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**Compliance Objective 2:** **Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory/ Tribal Nation (including within Departments/Agencies), including local governments. This process must provide a means for measuring progress and facilitate reporting.**

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2.1  Has the Tribal Nation developed a planning process to communicate, monitor, and implement all NIMS compliance objectives to

Tribal Nation Departments and Agencies?
[  ] Yes                                                        [  ] No

Does that planning process:

|  | Yes | No |
|---|---|---|
| Communicate required NIMS activities | [ ] | [ ] |
| Monitor required NIMS activities | [ ] | [ ] |
| Implement required NIMS activities | [ ] | [ ] |
| Measure progress | [ ] | [ ] |
| Facilitate reporting | [ ] | [ ] |

Local Tribal Nation Governments?
[  ] Yes                                                        [  ] No

Does that planning process:

|  | Yes | No |
|---|---|---|
| Communicate required NIMS activities | [ ] | [ ] |
| Monitoring required NIMS activities | [ ] | [ ] |
| Implement required NIMS activities | [ ] | [ ] |
| Measure progress | [ ] | [ ] |
| Facilitate reporting | [ ] | [ ] |

Associations, utilities, private sector, and nongovernmental organizations?
[  ] Yes                                                        [  ] No

Does that planning process:

|  | Yes | No | N/A |
|---|---|---|---|
| Communicate required NIMS activities | [ ] | [ ] | [ ] |
| Monitoring required NIMS activities | [ ] | [ ] | [ ] |
| Implement required NIMS activities | [ ] | [ ] | [ ] |
| Measure progress | [ ] | [ ] | [ ] |
| Facilitate reporting | [ ] | [ ] | [ ] |

> **Compliance Objective 3:** Designate and maintain a single point of contact within Tribe to serve as principle coordinator for NIMS implementation jurisdiction-wide (to include principal coordinator for NIMS implementation within each Department/Agency.

3.1 Has Tribal Nation government designated a single point of contact with the authority to serve as the principal coordinator for overall Tribal NIMS implementation?

[ ] Yes                               [ ] No

Total number of Tribal Nation
Departments/Agencies?

[        ]

Total Number of Tribal Nation
Departments/Agencies that have designated a
single point of contact?

[        ]

3.2 Have the appropriate Tribal Nation Departments/Agencies or those with emergency management and incident response responsibilities designated a single point of contact within each of the Departments/Agencies with the authority to serve as the principal coordinator for NIMS implementation?

[ ] Yes                               [ ] No

Total number of Tribal Nation
Departments/Agencies?

[        ]

Number of Tribal Nation Departments/Agencies
that have designated a single point of contact?

[        ]

**Compliance Objective 4:** Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to Tribal Nation government departments/agencies, as well as local Tribal Nation governments, support all required NIMS compliance requirements.

4.1 Does the Tribal Nation government ensure that Federal Preparedness Awards [including DHS Homeland Security Grant Program and Urban Area Security Initiative (UASI) Funds] support NIMS compliance?

[ ] Yes                          [ ] No                          [ ] N/A

**Compliance Objective 5:** Routinely include NIMS compliance objectives in all audits, conducted by Tribal Nation government's audit agencies and review organizations, associated with Federal Preparedness Awards.

5.1 Do Tribal Nation Government's audit agencies and review organizations include required NIMS compliance activities in all audits associated with Federal Preparedness Awards?

[ ] Yes                          [ ] No                          [ ] N/A

## PREPAREDNESS: PLANNING

**Compliance Objective 7:** Create, revise and update Tribal Nation government's emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.

7.1 Does the Tribal Nation government review and revise the following plans to incorporate NIMS components, principles, and policies?

|  | Yes | No |
|---|---|---|
| EOPs | [ ] | [ ] |
| SOPs | [ ] | [ ] |
| SOGs | [ ] | [ ] |

7.2 Does the Tribal Nation government review and revise the following plans to incorporate NRF components, principles, and concepts?

|  | Yes | No |
|---|---|---|
| EOPs | [ ] | [ ] |
| SOPs | [ ] | [ ] |
| SOGs | [ ] | [ ] |

**Compliance Objective 8:** Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs) where appropriate, and/or where permitted by State law.

8.1 Does the Tribal Nation government promote and/or develop mutual aid agreements and assistance agreements, where permitted by state law?

[ ] Yes                               [ ] No                               [ ] N/A

Do these include agreements with the private sector?

[ ] Yes
[ ] No

Do these include agreements with NGOs?

[ ] Yes
[ ] No

8.2 Does the Tribal Nation government promote and/or develop interagency mutual aid agreements and assistance agreements throughout the Tribal Nation, when permitted by State law?

[ ] Yes                          [ ] No                          [ ] N/A

Do these include agreements with the private sector?

[ ] Yes
[ ] No

Do these include agreements with NGOs?

[ ] Yes
[ ] No

## PREPAREDNESS: TRAINING

**Compliance Objective 9:** Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training.

9.1 Does the Tribal Nation government use the following resources for NIMS training?

|  | Yes | No |
|---|---|---|
| Programs | [ ] | [ ] |
| Personnel | [ ] | [ ] |
| Facilities | [ ] | [ ] |

**Compliance Objective 10:** Ensure that IS-700 NIMS: *An Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

10.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-700?

[ ] Yes                                    [ ] No

Number of appropriate personnel who are required to complete IS-700:

[        ]

Number of appropriate personnel who have completed IS-700:

[        ]

The number of appropriate personnel who have completed IS-700 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff |
|---|---|---|---|---|
| IS-700 | [ ] | [ ] | [ ] | [ ] |

10.2 Does the Tribal Nation government document IS-700 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

Compliance Objective 11: Ensure that IS-800a *National Response Framework: an Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

11.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-800?

[  ] Yes                                                        [  ] No

Number of appropriate personnel who are
required to complete IS-800:

[        ]

Number of appropriate personnel who have
completed IS-800:

[        ]

The number of appropriate personnel who have completed IS-800 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff |
|---|---|---|---|---|
| IS-800 | [ ] | [ ] | [ ] | [ ] |

11.2 Does the Tribal Nation government document IS-800 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

**Compliance Objective 12:** Ensure that ICS-100: *Introduction to ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-100?

[ ] Yes                                            [ ] No

Number of appropriate personnel who are
required to complete ICS-100:

[          ]

Number of appropriate personnel who have
completed ICS-100:

[          ]

The number of appropriate personnel who have completed ICS-100 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff | Personnel as ICS trainers |
|---|---|---|---|---|---|
| ICS-100 | [ ] | [ ] | [ ] | [ ] | [ ] |

Does the Tribal Nation government document ICS-100 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

**Compliance Objective 13:** Ensure that ICS-200: *ICS for Single Resources and Initial Action Incidents* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

13.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-200?

[ ] Yes                                   [ ] No

Number of appropriate personnel who are required to complete ICS-200:

[        ]

Number of appropriate personnel who have completed ICS-200:

[        ]

The number of appropriate personnel who have completed ICS-200 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff | Personnel as ICS trainers |
|---|---|---|---|---|---|
| IS-200 | [ ] | [ ] | [ ] | [ ] | [ ] |

13.2 Does the Tribal Nation document ICS-200 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

**Compliance Objective 14:** **Ensure that ICS-300:** *Intermediate ICS* **training is completed by appropriate personnel (as identified in the** *Five-Year NIMS Training Plan***, February 2008).**

14.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-300?

[ ] Yes                                                           [ ] No

Number of appropriate personnel who are
required to complete ICS-300:

[        ]

Number of appropriate personnel who have
completed ICS-300:

[        ]

The number of appropriate personnel who have completed ICS-300 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff | Personnel as ICS trainers |
|---|---|---|---|---|---|
| IS-300 | [ ] | [ ] | [ ] | [ ] | [ ] |

14.2 Does the Tribal Nation government document ICS-300 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

**FY 2009 Compliance Objective: Ensure that ICS-400: *Advanced ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).**

- Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-400?

  [ ] Yes                                             [ ] No

  Number of appropriate personnel who are required to complete ICS-400:

  [        ]

  Number of appropriate personnel who have completed ICS-400:

  [        ]

The number of appropriate personnel who have completed ICS-400 for the following categories:

|  | Entry-level first responders | First line supervisors | Emergency Management and response personnel in middle management | Emergency Management and response personnel in command and general staff | Personnel as ICS trainers |
|---|---|---|---|---|---|
| IS-300 | [ ] | [ ] | [ ] | [ ] | [ ] |

- Does the Tribal Nation government document ICS-400 training status of personnel from:

|  | Yes | No | N/A |
|---|---|---|---|
| Tribal Nation government departments/agencies | [ ] | [ ] |  |
| Local Tribal Nation governments | [ ] | [ ] | [ ] |
| Other emergency response organizations | [ ] | [ ] | [ ] |

## PREPAREDNESS: EXERCISES

> **Compliance Objective 15:** **Incorporate NIMS concepts and principles into all appropriate training and exercises.**

15.1 Have the following NIMS concepts and principles been incorporated into all appropriate Tribal government training?

| | Incorporated | Not Incorporated |
|---|:---:|:---:|
| Flexibility | [ ] | [ ] |
| Scalability | [ ] | [ ] |
| Standardization | [ ] | [ ] |
| Interoperability & Compatibility | [ ] | [ ] |
| Resource Management | [ ] | [ ] |
| Incident Command | [ ] | [ ] |
| Multiagency Coordination | [ ] | [ ] |
| Public Information | [ ] | [ ] |

15.2 Have the following NIMS concepts and principles been incorporated into all appropriate Tribal government exercises?

| | Incorporated | Not Incorporated |
|---|:---:|:---:|
| Flexibility | [ ] | [ ] |
| Scalability | [ ] | [ ] |
| Standardization | [ ] | [ ] |
| Interoperability & Compatibility | [ ] | [ ] |
| Resource Management | [ ] | [ ] |
| Incident Command | [ ] | [ ] |
| Multiagency Coordination | [ ] | [ ] |
| Public Information | [ ] | [ ] |

> **Compliance Objective 16:** **Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions.**

16.1 Does the Tribal Nation government plan for an all-hazards exercise program?

[ ] Yes                                    [ ] No

If yes, is the all-hazards exercise program multidisciplinary?

[ ] Yes                         [ ] No

If yes, is the all-hazards exercise program multi-jurisdictional?

[ ] Yes                         [ ] No

16.2 Does the Tribal Nation participate in an all-hazards exercise program in FY 2008?

[ ] Yes                                              [ ] No

Is the all-hazards exercise program multidisciplinary?

[ ] Yes                          [ ] No

Is the all-hazards exercise program multi-jurisdictional?

[ ] Yes                          [ ] No

Which of the following NIMS components are evaluated
through program exercises: (Check all that apply.)
   [ ] Preparedness
   [ ] Communication and Information Management
   [ ] Resource Management
   [ ] Command and Management
   [ ] Mutual Aid and Assistance
   [ ] Interoperability
   [ ] Participation of NGOs and Private Sector

16.3 In FY 2008, will the Tribal Nation participate in all-hazards:

| | | | |
|---|---|---|---|
| Drills | [ ] Yes | [ ] No | [ ] N/A (not this year) |
| Table-top Exercises | [ ] Yes | [ ] No | [ ] N/A (not this year) |
| Functional Exercises | [ ] Yes | [ ] No | [ ] N/A (not this year) |
| Full-scale Exercises | [ ] Yes | [ ] No | [ ] N/A (not this year) |

**Compliance Objective 17:** **Incorporate corrective actions into Tribal Nation preparedness and response plans and procedures.**

17.1 After conducting and/or participating in an all-hazards exercise program, does the Tribal Nation incorporate corrective actions into preparedness and response plans and procedures?

[ ] Yes                          [ ] No

# COMMUNICATIONS AND INFORMATION MANAGEMENT

**Compliance Objective 18:** Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.

18.1 Does the Tribal Nation apply the following communication standards:

|  | Yes | No |
|---|:---:|:---:|
| Plain Language (Clear Text) | [ ] | [ ] |
| Common and Consistent Terminology | [ ] | [ ] |

**Compliance Requirement 19:** Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.

19.1 Does the Tribal Nation utilize the following to present consistent and accurate information during an incident/planned event?

|  | Yes | No |
|---|:---:|:---:|
| Systems | [ ] | [ ] |
| Tools | [ ] | [ ] |
| Processes | [ ] | [ ] |

## RESOURCE MANAGEMENT

> **Compliance Objective 20:** Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA's Incident Management Systems Integration Division.

20.1 Has the Tribal Nation inventoried its emergency management/incident response assets to conform to NIMS National Resource Typing Definitions?

[ ] Yes            [ ] No            [ ] N/A

20.2 Has the Tribal Nation typed its response assets to conform to NIMS National Resource Typing Definitions?

[ ] Yes            [ ] No            [ ] N/A

20.3 Does the Tribal Nation have a process to determine availability of emergency management/incidents response assets in accordance with "Tier One" NIMS National Resource Typing Definitions?

[ ] Yes                       [ ] No

> **Compliance Objective 21:** Utilize response asset inventory for intra-Tribal Nation and inter-Tribal Nation, and intrastate and interstate mutual aid requests, where permitted by State law [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events.

21.1 Does the Tribal Nation use the response asset inventory for:

|  | Yes | No | N/A |
|---|---|---|---|
| All-Hazards Exercise Program | [ ] | [ ] | [ ] |
| Interstate Mutual Aid and Assistance | [ ] | [ ] | [ ] |
| Training | [ ] | [ ] | [ ] |
| Incidents/Planned Events | [ ] | [ ] | [ ] |

> **Compliance Objective 22:** Ensure that equipment, communications and data systems acquired through Tribal acquisition programs are interoperable.

22.1 Tribal Nation acquisition programs require the following to be interoperable when purchased:

|  | Yes | No |
|---|---|---|
| Equipment | [ ] | [ ] |
| Communications | [ ] | [ ] |
| Data Systems | [ ] | [ ] |

22.2 If the Tribal Nation is providing funds for equipment, communications and data systems does it ensure acquisition programs require the following to be interoperable when purchased:

|  | Yes | No | N/A |
|---|---|---|---|
| Equipment | [ ] | [ ] | [ ] |
| Communications | [ ] | [ ] | [ ] |
| Data Systems | [ ] | [ ] | [ ] |

New in FY 2008 **Compliance Objective 23: Develop a Tribal Nation-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident, including those involving mutual aid agreements and/or assistance agreements, where permitted by State law.**

23.1 Does the Tribal Nation government use a system to credential emergency management/response personnel?

[ ] Yes                                    [ ] No

If yes, is the credentialing system based upon an existing State-wide system?

[ ] Yes                    [ ] No

If yes, what disciplines does the credential system encompass?

| | |
|---|---|
| Animal Health/ Rescue | [  ] |
| Emergency Management | [  ] |
| EMS | [  ] |
| Fire | [  ] |
| Hazardous Materials | [  ] |
| Incident Management | [  ] |
| Law Enforcement/ Public Safety | [  ] |
| Medical/Hospital | [  ] |
| Public Health | [  ] |
| Public Works | [  ] |
| Other | [  ] |

Does the Tribal government credentialing conform to current NIMS national credentialing criteria and guidance? [Note: Credentialing should include the means for validating the identity, qualification, and deployment authorization that allows for the granting of access to an incident, including preparedness-related exercises and training activities.]

Yes [   ]                              No [  ]

## COMMAND AND MANAGEMENT

> **Compliance Objective 24:** Manage all incidents/ planned events in accordance with Incident Command System (ICS) organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP) and common communications plans, as appropriate.

24.1 Does the Tribal Nation implement ICS for all-hazards emergency management and incident response/planned events?

[  ] Yes, for all incidents/planned events.          [  ] No

24.2 Does ICS implementation include the following concepts?

|  | Yes | No |
|---|---|---|
| Common Terminology | [ ] | [ ] |
| Modular Organization | [ ] | [ ] |
| Management by Objectives | [ ] | [ ] |
| Incident Action Planning | [ ] | [ ] |
| Manageable Span of Control | [ ] | [ ] |
| Incident Facilities and Locations | [ ] | [ ] |
| Comprehensive Resource Management | [ ] | [ ] |
| Integrated Communications | [ ] | [ ] |
| Establishment and Transfer of Command | [ ] | [ ] |
| Chain of Command and Unity of Command | [ ] | [ ] |
| Unified Command | [ ] | [ ] |
| Accountability | [ ] | [ ] |
| Dispatch/Deployment | [ ] | [ ] |
| Information and Intelligence Management | [ ] | [ ] |

24.3 Does the Tribal Nation implement Incident Action Plans (IAPs) during incidents/planned events, as appropriate?

[  ] Yes                    [  ] No

24.4 Does the Tribal Nation implement common communication plans during incidents/planned events, as appropriate?

[  ] Yes                    [  ] No

**Compliance Activity 25:** **Coordinate and support emergency management and incident response activities through the development and use of integrated Multiagency Coordination System (MACS) [i.e., develop and maintain connectivity between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the Tribal Nation EOC, and Regional and Federal EOCs and NRF organizational elements].**

25.1 Has the Tribal Nation government used integrated MACS, where appropriate, during incidents/planned events?

[ ] Yes                                               [ ] No

Which of the following primary functions is coordinated:
[Check all that apply.]

[ ] Situation assessment
[ ] Critical resource acquisition and allocation
[ ] Other State/Territory, Tribal Nation, Local, and Federal MACS
[ ] Coordination with elected and appointed officials
[ ] Coordination of summary information
[ ] Incident priority determination
[ ] Other functions

**Compliance Objective 26:** **Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event.**

26.1 Do the Tribal Nation emergency plans, within the framework of ICS, include processes and procedures for Public Information during incidents/planned events as appropriate?

[ ] Yes                                               [ ] No

Can Public Information establish a JIS during incidents/planned events, as appropriate?

[ ] Yes                    [ ] No

Can Public Information establish a JIC during incidents/planned events, as appropriate?

[ ] Yes                    [ ] No

Can Public Information identify individuals to serve as Public Information Officers (PIOs) during an incident/planned event, as appropriate?

[ ] Yes                    [ ] No

**Compliance Objective 27:** **Ensure Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.**

During an incident/planned event, can the Tribal Nation Public Information system:

|  | Yes | No |
|---|---|---|
| Gather information | [ ] | [ ] |
| Verify information | [ ] | [ ] |
| Coordinate information | [ ] | [ ] |
| Disseminate information | [ ] | [ ] |

# References

| NIMS Compliance Objectives | References |
|---|---|
| **Adoption** | |
| Adopt NIMS for all Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations. | * NIMS Document<br>* NRF Document (27)<br>* HSPD-5 (items 14, 15, 19)<br>* Letter from Secretary Ridge to Governors (2005) |
| Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory (including Departments/Agencies), including local governments. This process must provide a means for measuring progress and facilitate reporting. | *Letter from Secretary Ridge to Governors (2005) |
| Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency. | **Best practices** |
| Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial Departments/Agencies, as well as local governments, support all NIMS compliance objectives. | *Letter from Secretary Ridge to Governors (2005) |
| Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards. | * NIMS Document<br>* HSPD-5 (item 30)<br>* HSPD-8 (item 11)<br>* National Preparedness Guidelines (pp 27-28)<br>* Letter from Secretary Ridge to Governors (2005) |
| **Preparedness: Planning** | |
| Revise and update emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions. | * Letter from Secretary Ridge to Governors (2005)<br>* State NIMS Integration, Version 1.0 (p6) |
| Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs). | * NIMS Document |
| **Preparedness: Training** | |
| Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements. | * Five-Year NIMS Training Plan (informational) |
| Complete *IS-700 NIMS: An Introduction* or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | * Five-Year NIMS Training Plan (informational) |
| Complete *IS-800 NRP: An Introduction* or equivalent by | * Five-Year NIMS Training Plan (informational) |

| NIMS Compliance Objectives | References |
|---|---|
| appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | |
| Complete *ICS-100 Introduction to ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | * Five-Year NIMS Training Plan (informational) |
| Complete *ICS-200 ICS for Single Resources and Initial Action Incidents* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | * Five-Year NIMS Training Plan (informational) |
| Complete *ICS-300 Intermediate ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | * Five-Year NIMS Training Plan (informational) |
| Complete *ICS-400 Advanced ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008). | * Five-Year NIMS Training Plan (informational) |
| **Preparedness: Exercises** | |
| Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises. | * NIMS Document<br>* NRF Document (p 47) |
| Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions. | * NIMS Document<br>* NRF Document (pp 30, 47) |
| Incorporate corrective actions into preparedness and response plans and procedures. | * NIMS Document<br>* NRF Draft Document (p 30)<br>* HSPD-8 (item 19) |
| **Communications & Information Management** | |
| Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards. | *NIMS Document |
| Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event. | *NIMS Document<br>*NRF Document (p 31, 33, 47) |
| **Resource Management** | |
| Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division. | * NIMS Document<br>* NRF Document (p 27) |
| Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events | **Best Practices** |
| Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable | * NIMS Document<br>* NRF Document (p 27)<br>* National Preparedness Guidelines (pp 17-18) |
| Initiate development of a State/Territory-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident including those involving mutual aid agreements and/or assistance agreements. | * http://www.nimsonline.com/docs/credent_faq.pdf<br><br>* Congressional mandate |

| NIMS Compliance Objectives | References |
|---|---|
| **Command and Management** ||
| Incident Command System (ICS): Manage all incidents/ planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate. | * NIMS Document |
| Multi-agency Coordination System (MACS): Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements. | * NIMS Document<br>* NRF Document (p. 46) (informational) |
| Public Information: Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event. | * NIMS Document<br>* NRF Document (pp 35, 62)<br>* NRF Annexes (pp PUB 1-PUB 16) (informational) |
| Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event. | * NIMS Document<br>* NRF Annexes (pp PUB 1-PUB 16) (informational) |

**Best Practices:**
In addition to the compliance requirements stemming from doctrines and guidance documents related to NIMS, there are several other recommended actions to assist stakeholders in effectively implementing NIMS.  Using the outlined methodologies and actions is strongly suggested.  These methodologies are based on the sharing of best practices and provide suggestions for ways in which stakeholders can carry out these critical aspects of implementation.